



IPW

PATENT

Attorney Docket No. 432383-600013

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Levergood et al.
Serial No.: 09/005479 ✓
Filing Date: January 12, 1998
For: Internet Server Access Control and Monitoring Systems
Art Unit: 2145
Examiner: Patrice L. Winder

Commissioner for Patents
Mail Stop Amendment
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

This information disclosure statement is submitted in compliance with 37 CFR 1.56; 1.97 and 1.98. Applicants respectfully request that the listed items be considered and made of record in the present application by completing and returning the enclosed Form PTO-1449.

No fee is believed to be due for entry of this Information Disclosure Statement. However, if any fee should be required, please charge such fee to Jones Day's Deposit Account No. 501432, Reference No. 432383600013.

Respectfully submitted,

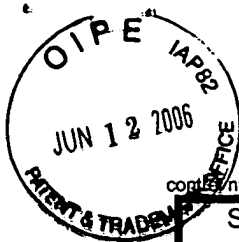
David B. Cochran
David B. Cochran, Esq., Reg. No. 39,142
JONES DAY
North Point
901 Lakeside Avenue
Cleveland, Ohio 44114
(216) 586-3939

June 8, 2006

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service via first class mail addressed to:
Commissioner for Patents, Alexandria, Virginia 22313 on the date indicated below.

By: *Suzanne Koston* /Suzanne Koston on June 8, 2006.



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)**Complete if Known**

| | |
|------------------------|-------------------|
| Application Number | 09/005479 |
| Filing Date | January 12, 1998 |
| First Named Inventor | Levergood et al. |
| Art Unit | 2145 |
| Examiner Name | Patrice L. Winder |
| Attorney Docket Number | 432383600013 |

Sheet 1 of 8

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date/Date of Patent MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|---|---|---|
| | | Number - Kind Code ² (if known) | | | |
| | | 4305059 | 12/18/1981 | Benton | |
| | | 4528643 | 7/9/1985 | Freeny, Jr. | |
| | | 4529870 | 7/16/1986 | Chaum | |
| | | 4734858 | 3/29/1988 | Schlaflly | |
| | | 4755940 | 7/5/1988 | Bracht et al. | |
| | | 4759063 | 7/19/1988 | Chaum | |
| | | 4759064 | 7/19/1988 | Chaum | |
| | | 4775935 | 10/4/1988 | Yourick | |
| | | 4795890 | 1/3/1989 | Goldman | |
| | | 4799156 | 1/17/1989 | Shavit et al. | |
| | | 4812628 | 3/14/1989 | Boston et al. | |
| | | 4827508 | 5/2/1989 | Shear | |
| | | 4891503 | 1/2/1990 | Jewell | |
| | | 4922521 | 5/1/1990 | Krikke et al. | |
| | | 4926480 | 5/15/1990 | Chaum | |
| | | 4935870 | 6/19/1990 | Burk Jr., et al. | |
| | | 4947028 | 8/7/1990 | Gorog | |
| | | 4947430 | 8/7/1990 | Chaum | |
| | | 4949380 | 8/14/1990 | Chaum | |
| | | 4972318 | 11/20/1990 | Brown et al. | |
| | | 4982346 | 1/1/1991 | Girouard et al. | |
| | | 4987593 | 1/22/1991 | Chaum | |
| | | 4991210 | 2/5/1991 | Chaum | |
| | | 4992940 | 2/12/1991 | Dworkin | |
| | | 4996711 | 2/26/1991 | Chaum | |
| | | 5025373 | 6/18/1991 | Keyser Jr., et al. | |
| | | 5060153 | 10/22/1991 | Nakagawa | |
| | | 5077607 | 12/31/1991 | Johnson et al. | |
| | | 5105184 | 4/14/1992 | Pirani et al. | |
| | | 5220501 | 6/15/1993 | Lawlor et al. | |
| | | 5247575 | 9/21/1993 | Sprague et al. | |
| | | 5276736 | 1/4/1994 | Chaum | |
| | | 5305195 | 4/19/1994 | Murphy | |
| | | 5311594 | 5/10/1994 | Penzias | |
| | | 5319542 | 6/7/1994 | King Jr., et al. | |
| | | 5321751 | 6/14/1994 | Ray et al. | |
| | | 5336870 | 8/9/1994 | Hughes et al. | |
| | | 5341429 | 8/23/1994 | Stringer et al. | |
| | | 5351186 | 9/27/1994 | Bullock et al. | |
| | | 5383113 | 1/17/1995 | Kight et al. | |
| | | 5414833 | 5/9/1995 | Hershey et al. | |
| | | 5475585 | 12/12/1995 | Bush | |
| Examiner Signature | | | | | Date Considered |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

Complete if Known

| | |
|-------------------------------|-------------------|
| Application Number | 09/005479 |
| Filing Date | January 12, 1998 |
| First Named Inventor | Levergood et al. |
| Art Unit | 2145 |
| Examiner Name | Patrice L. Winder |
| Attorney Docket Number | 432383600013 |

| | | | |
|-------|---|----|---|
| Sheet | 2 | of | 8 |
|-------|---|----|---|

U.S. PATENT DOCUMENTS

[illegible]

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Complete if Known | | |
|---|--------------------------|---|------------------------------------|--|---|----------------|
| | | | | Application Number | 09/005479 | |
| | | | | Filing Date | January 12, 1998 | |
| | | | | First Named Inventor | Levergood et al. | |
| | | | | Art Unit | 2145 | |
| | | | | Examiner Name | Patrice L. Winder | |
| | | | | Attorney Docket Number | 432383600013 | |
| Sheet | 3 | of | 8 | | | |
| FOREIGN DOCUMENTS | | | | | | |
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date -MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ² |
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | | | | |
| | | 0172670EP | 2/26/1986 | Technion Research & Development Foundation | | |
| | | GB 2102606 | 2/2/1983 | National Research Development Corporation | | |
| | | JP 410191 | 1/1992 | | | |
| | | JP 05-158963 | 6/25/1993 | Omron Corp. | | |
| | | WO 91/16691 | 10/31/1991 | Jonhig Limited | | |
| | | WO 93/10503 | 5/27/1993 | Citibank N.A. | | |
| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS | | | | | | |
| Examiner Initials* | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | | | | T ² |
| | | PLEADINGS: | | | | |
| | | Amazon.com's Reply in Support of Renewed Motion to Stay | | | | |
| | | Deposition of G. Winfield Treese, dated October 27, 2004. | | | | |
| | | Deposition of Glenn Arthur Hauman with Exhibits (October 28, 2004) | | | | |
| | | Joint Claim Construction Chart (Patent Local Rule 4-5D1), filed December 27, 2004 with Appendix A. | | | | |
| | | Memorandum Opinion dated April 7, 2005 | | | | |
| | | Motion to Stay [Renewed] by Amazon.com. (Attachments: # 1 Affidavit # 2 Text of Proposed Order)(Nelson, Justin) (Entered: 04/05/2005) | | | | |
| | | Notice by Amazon.com re Answer to Amended Complaint, Counterclaim Of Rejection Of Claims 1-45 Of U.S. Patent No. 5,708,780 | | | | |
| | | Order Denying Amazon's Motion to Stay Proceedings Pending Completion of the Reexamination. | | | | |
| | | Soverain's Disclosure of Asserted Claims and Preliminary Infringement Contentions dated June 3, 2004. | | | | |
| | | Soverain's Opposition to Amazon's Renewed Motion to Stay | | | | |
| | | Soverain's Reply to Amazon.Com's Amended Counterclaims, dated January 14, 2005. | | | | |
| | | Soverain's Reply to Response to Motion re: Motion to Stay | | | | |
| | | Soverain's Answer to Counterclaim (Amazon's Third Amended Counterclaim) by Soverain Software LLC.(Seraphine, Jennifer) (Entered:03/17/2005) | | | | |
| | | Soverain's Fourth Supplemental Responses to Amazon's First Set of Interrogatories (Nos. 1-14) dated March 21, 2005 | | | | |
| | | Soverain's Responses to Amazon's First Set of Requests for Admission to Plaintiff Soverain Software (Nos. 1-100) dated March 21, 2005 | | | | |
| | | Soverain's Responses to Interrogatory Nos. 22, 23, 26 and 36 of Amazon's Third Set of Interrogatories (Nos. 17-38) dated March 21, 2005 | | | | |
| | | Third Supplement to Defendant Amazon's Initial Disclosures, dated March 4, 2005. | | | | |
| | | Transcript of the Markmam Hearing Before the Honorable Leonard David United States District Judge, January 6, 2005. | | | | |
| | | VideoTaped Deposition of Andrew Payne dated March 11, 2005. | | | | |
| | | VideoTaped Deposition of Glenn Crocker with Exhibits (March 10, 2005) | | | | |
| | | VideoTaped Deposition of Glenn Trewitt dated January 25, 2005 (2 parts). | | | | |
| | | VideoTaped Deposition of Mark Levergood dated March 8, 2005 (2 Parts). | | | | |
| | | VideoTaped Deposition of Stephen Morris dated March 9, 2005. | | | | |
| Examiner Signature | | | | | Date Considered | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|---|---|----|---|--|-------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Complete if Known | |
| | | | | Application Number | 09/005479 |
| | | | | Filing Date | January 12, 1998 |
| | | | | First Named Inventor | Levergood et al. |
| | | | | Art Unit | 2145 |
| | | | | Examiner Name | Patrice L. Winder |
| Sheet | 4 | of | 8 | Attorney Docket Number | 432383600013 |
| | | | | Amazon.com Inc.'s Unopposed Motion for Leave to Amend its Answer to Include Allegations Regarding Stuff.com | |
| | | | | Amazon.com's Motion for Partial Summary Judgment that claims are indefinite under 35 U.S.C. 112 | |
| | | | | Amazon.com's Motion for Partial Summary Judgment that '314 claims 34-39, '492 claims 17-18 and 35-36, and '780 claims 1, 4, and 22-24 are invalid under 35 U.S.C. 102 | |
| | | | | Declaration of James E. Geringer in Support of Amazon.com, Inc's Motion for Leave to Amend its Answer and Counterclaims to Add Stuff.com | |
| | | | | Deposition of Glenn M. Trewitt with Exhibits (January 25, 2005) | |
| | | | | Deposition of Joshua Smith with Exhibits (March 2, 2005) | |
| | | | | Deposition of Michael Lazzaro with Exhibits (March 9, 2005) | |
| | | | | Deposition of Thomas Soulanille with Exhibits (March 14, 2005) | |
| | | | | Exhibit 1 of Geringer Declaration: Excerpts of Deposition of Michael Kuniavsky | |
| | | | | Exhibit 2 of Geringer Declaration: E-mail from Brooks Cutter to Mike Kuniavsky (June 14, 1994) | |
| | | | | Exhibit 3 of Geringer Declaration: Excerpts of Deposition of Richard Boake | |
| | | | | Exhibit 5 of Geringer Declaration: Excerpts of Deposition of Andrew Payne | |
| | | | | Exhibit 6 of Geringer Declaration: E-mail from Andrew Payne to Winfield Treese, et al. (June 15, 1994) | |
| | | | | Exhibit 7 of Geringer Declaration: Excerpts of Deposition of Winfield Treese | |
| | | | | Exhibit 8 of Geringer Declaration: Amazon.com, Inc.'s [Proposed] fourth Amended Answer, Affirmative Defenses, and Counterclaims to Sovereign Software, LLC's Complaint (Redlined Version) | |
| | | | | Supplemental Disclosure of Preliminary Invalidity Contentions by Amazon and Gap dated July 26, 2004 | |
| | | | | Videotaped Deposition of Guy Henry Timothy Haskin with Exhibits (March 18, 2005) | |
| | | | | Videotaped Deposition of Kevin Ming-Wei Kadaia Hughes with Exhibits (March 21, 2005) | |
| | | | | Videotaped Deposition of Michael Kuniavsky with Exhibits (February 22, 2005) | |
| | | | | Videotaped Deposition of Phillip Hallam-Baker with Exhibits (March 11, 2005) | |
| | | | | Videotaped Deposition of Robert Allen Olson with Exhibits (March 3, 2005) | |
| | | | | PUBLICATIONS: | |
| | | | | "Advanced Electronic Credit Authorization Through the Amherst Group SNET", News Release, pp. 1-2. | |
| | | | | "CompuServe Videotex Network Offers Marketing Research Service, Ad Test," Marketing News, Nov. 25, 1983 p. 21. | |
| | | | | "Electronic In-Home Shopping: "Our Stores are Always Open", " Chain Store Age Executive, Mar. 1985, pp. 111,116. | |
| | | | | "Mall Offers Holiday Treat for Hackers," Advertising Age, Nov. 13, 1985, p. 76. | |
| | | | | "Redcoats Join Communications Fight," Industry Week, Feb. 22, 1982, pp. 108-109. | |
| | | | | "Suddenly, Videotex is Finding an Audience," Business Week, Oct. 19, 1987, pp. 92-94. | |
| | | | | "Taking Advantage of the Past," Advertising Age, Apr. 11, 1983, pp. M36-37. | |
| | | | | Allen & Hamilton, How to Buy information with a First Virtual Account, Apr. 11, 1994, pp. 3-71. | |
| | | | | American National Standard: "Financial Institution Retail Message Authentication"; ANSI X9.19; 1986. | |
| | | | | American National Standard; "Interchange Message Specification for Debit and Credit Card Message Exchange Among Financial Institutions"; ANSI X9.2; 1988. | |
| | | | | Anderson, Ross J.; "UEPS--A Second Generation Electronic Wallet"; Proc. of the Second European Symposium on Research in Computer Security (ESORICS); Toulouse, France; pp. 411-418, no date. | |
| | | | | Bender, M.; "EFTS: Electronic Funds Transfer Systems"; Kennikat Press; Port Washington, New York; pp. 43-46; 1975. | |
| | | | | Beutelspacher, et al, "Payment Applications with Multifunctional Smart Cards," Smart Card 2000: The Future of IC Cards, Oct. 1987, pp. 95-101. | |
| | | | | Bos et al.; "SmartCash: A Practical Electronic Payment System"; pp. 1-8; Aug. 1990. | |
| | | | | Burk et al.; "Value Exchange Systems Enabling Security and Unobservability"; Computers & Security, 9; pp. 715-721; 1990. | |
| | | | | Burk, et al, "Digital Payment Systems Enabling Security and Observability," Computers & Security, 1989, pp. 399-415. | |
| Examiner Signature | | | | | Date Considered |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | | |
|--|--|----|---|--------------------------|-------------------|--------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Complete if Known | | |
| | | | | Application Number | 09/005479 | |
| | | | | Filing Date | January 12, 1998 | |
| | | | | First Named Inventor | Levergood et al. | |
| | | | | Art Unit | 2145 | |
| | | | | Examiner Name | Patrice L. Winder | |
| Sheet | 5 | of | 8 | Attorney Docket Number | | 432383600013 |
| | Case Study: The CIRRUS Banking Network; Comm. ACM 8, 28' pp. 797-8078; Aug., 1985. | | | | | |
| | CCITT Blue Book, vol. VIII, pp. 48-81, Nov. 14-25, 1988. | | | | | |
| | Chaum et al.; "Untraceable Electronic Cash"; Advances in Cryptology; pp. 319-327; 1988. | | | | | |
| | Cohen, Danny; "Computerized Commerce"; ISI Reprint Series IS/RS-89-243; Oct., 1989; Reprinted from Information Processing 89, Proceedings of the IFIP World Computer Congress, held Aug. 28-Sep. 1 1989. | | | | | |
| | Cohen, Danny; "Electronic Commerce"; University of Southern California Information Sciences Institute, Research Report ISI/RR-89-244; Oct., 1989. | | | | | |
| | CompuServe International; CompuServe Information Service Users Guide; pp. 109-114; 1986. | | | | | |
| | Computer Fraud & Security Bulletin, "Underlying Security Mechanisms," Mar. 1997. | | | | | |
| | Computer Shopper; "Internet for Profit"; pp. 180-182, 187, 190-192, 522-528, 532, 534; Nov., 1994. | | | | | |
| | Consumers Plugging Into New Electronic Mall, Advertising Age, Mar. 4, 1985, p. 74. | | | | | |
| | Damgard, "Payment Systems and Credential Mechanisms with Provable Security Against Abuse by Individuals," Advances in Cryptology-CRYPTO '88, 1988, pp. 328-325. | | | | | |
| | Davies, D.W. and Price, W.L.; "Security for Computer Networks: An Introduction to Data Security in Teleprocessing and Electronic Funds Transfer"; John Wiley & Sons; Dec. 5, 1985; pp. 304-336. | | | | | |
| | Dukach, Semyon; "SNPP: A Simple Network Payment Protocol"; MIT Laboratory for Computer Science; Cambridge. | | | | | |
| | Even et al.; "Electronic Wallet"; pp. 383-386; 1983. | | | | | |
| | Ferrarini, "Direct Connections for Software Selections," Business Computer Systems, Feb. 1984, pp. 35-38. | | | | | |
| | Fujioka, et al., "ESIGN: An Efficient Digital Signature Implementation for Smart Cards," Advances in Cryptology-Eurocrypt '91, Apr. 1991, pp. 446-457. | | | | | |
| | Gifford, David K.; "Cryptographic Sealing for Information Secrecy and Authentication"; Stanford University and Xerox Palo Alto Research Center; Communications of the ACM; vol. 25, No. 4; Apr., 1982. | | | | | |
| | Hakola, et al., "A System for Automatic Value Exchange," Proceedings-Fall Joint Computer Conference, 1966, pp. 579-589. | | | | | |
| | Hartv et al.; "Case Study: The VISA Transaction Processing System"; 1988. | | | | | |
| | Information Network Institute, Carnegie Mellon University; Internet Billing Server; Prototype Scope Document; Oct. 14, 1993. | | | | | |
| | International Organization for Standardization; "International Standard: Bank Card Originated Messages--Interchange Message Specifications--Content for Financial Transactions"; ISO 8583; 1987. | | | | | |
| | Intuit Corp Quicken User's Guide; "Paying Bills Electronically"; pp. 171-192, no date. | | | | | |
| | Jansson, Lennart; "General Electronic Payment System"; 7th Proceedings of the International Conference on Computer Communication; pp. 832-837; 1985. | | | | | |
| | Kenny, "EDI Security: Risks and Solutions," COMPSEC 1992; The Ninth World Conference on Computer Security, Audit, and Control, Nov. 1992, pp. 341-352. | | | | | |
| | Knapkog, Privacy Protected Payments- Realization of a Protocol That Guarantees Payor Anonymity, Advances in Cryptology-Eurocrypt '88, May 1988, pp. 107-122. | | | | | |
| | Krajewski, M. et al.; "Applicability of Smart Cards to Network User Authentication"; Computing Systems; vol. 7, No. 1; 1994. | | | | | |
| | Krajewski, M.; "Concept for a Smart Card Kerberos"; 15th National Computer Security Conference; Oct., 1992. | | | | | |
| | Krajewski, M.; "Smart Card Augmentation of Kerberos"; Privacy and Security Research Group Workshop on Network and Distributed System Security; Feb., 1993. | | | | | |
| | Lai et al., "Endorsements, Licensing, and Insurance for Distributed System Services", Information Sciences Institute Univ. of Southern CA., Assoc. for Computing Machinery 1994. | | | | | |
| | Low et al., "Anonymous Credit Cards", pp. 1-16. | | | | | |
| | Medvinsky et al.; "Electronic Currency for the Internet"; Electronic Markets; pp. 30-31, Sep., 1993. | | | | | |
| | Medvinsky et al.; "NetCash: A Design for Practical Electronic Currency on the Internet"; Proc. 1st ACM Conf. on Comp. and Comm. Security; Nov., 1993. | | | | | |
| | Messmer, "NIST Stumbles on Proposal for Public Key Encryption," Network World, Jul. 27, 1992, p. 1. | | | | | |
| | National Westminster Bank Group; "Clearing House Automated Payments System"; pp. 1-29, no date. | | | | | |
| Examiner Signature | | | | | Date Considered | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|---|---|----|---|--|-------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Complete if Known | |
| | | | | Application Number | 09/005479 |
| | | | | Filing Date | January 12, 1998 |
| | | | | First Named Inventor | Levergood et al. |
| | | | | Art Unit | 2145 |
| | | | | Examiner Name | Patrice L. Winder |
| Sheet | 6 | of | 8 | Attorney Docket Number | 432383600013 |
| | | | | Needham, Roger M., "Adding Capability Access to Conventional File Servers"; Xerox Palo Alto Research Center; Palo Alto, California; no date. | |
| | | | | Okamoto et al., "Universal Electronic Cash"; pp. 324-337; 1991. | |
| | | | | Payment Systems, "United States"; pp. 115-135, no date. | |
| | | | | P. Remeery et al., "Le Paiement electronique", pp. 15-23, 1988, L'Echo des RECHERCHES, No. 134. | |
| | | | | Perry, "Electronic Banking Goes to Market," IEEE Spectrum, Feb. 1988, pp. 46-49. | |
| | | | | Pfizmann et al., "How to Break and Repair a 'Provably Secure' Untraceable Payment System"; pp. 338-350; 1991. | |
| | | | | Ph. van Heurck, "TRASEC: Belgian Security System for Electronic Funds Transfers," Computers & Security, 1987, pp. 261-268. | |
| | | | | Pongratz, et al, "IC Cards in Videotex Systems," Smart Card 2000, 1989, pp. 179-186. | |
| | | | | Hirschfeld, Rafael "Making Electronic Refunds Safer"; Sections 1, 2, 4 and 6, 1992. | |
| | | | | Rivest, R.L. et al., "A Method for Obtaining Digital Signatures and Public-Key Cryptosystems," Laboratory for Computer Science, Massachusetts Institute of Technology, Cambridge, Massachusetts, no date. | |
| | | | | Schamuller-Bichl, I.; "IC-Cards in High-Security Applications"; Selected Papers from the Smart Card 2000 Conference; Springer Verlag; pp. 177-199; 1991. | |
| | | | | Shain, "Security in Electronic Funds Transfer System," Computers & Security, 1989, pp. 123-137. | |
| | | | | Sirbu, Marvin A.; "Internet Billing Service Design and Prototype Implementation"; An Internet Billing Server; pp. 1-19; 1993. | |
| | | | | Society for Worldwide Interbank Financial Telecommunications S.C.; "A S.W.I.F.T. Overview", no date. | |
| | | | | Staskauskas, "The Formal Specification and Design of a Distributed Electronic Funds Transfer System," IEEE Transactions on Computers, Dec. 1998, pp. 1515-1528. | |
| | | | | Stol, Privacy Protected Payments-A Possible Structure for a Real Implementaiton and Some Resource Considerations, Feb. 1998. | |
| | | | | Strazewski, "Computerized Service Sets Shoppers Hacking," Advertising Age, Feb. 22, 1988, p. 62. | |
| | | | | Takei, "Videotex Information System and Credit System Connecting with MARS-301 of JNR," Japanese Railway Engineering, No. 94, Sep. 1985, pp. 9-11. | |
| | | | | Tanaka, et al, "Untraceable Electronic Funds Transfer System," Electronics and Communications in Japan, 1989, pp. 47-54. | |
| | | | | Tenenbaum, Jay M. and Schiffman, Allan M.; "Development of Network Infrastructure and Services for Rapid Acquisition"; adapted from a white paper submitted to DARPA by MCC in collaboration with EIT and ISI. | |
| | | | | Tunstall, "Electronic Currency," Smart Card 2000: The future of IC Cards, Oct. 1987, pp. 47-48. | |
| | | | | Vital, J. "Active Message Processing: Messages as Messengers"; pp. 175-195; 1981. | |
| | | | | Waidner, et al, "Loss-Tolerance for Electronic Wallets," Fault-Tolerant Computing: 20th International Symposium, Jun. 1990, pp. 140-147. | |
| | | | | Weber, "Controls in Electronic Funds Transfer System," Computers & Security, 1989, pp. 209-221. | |
| | | | | Williams, "Debit Program Cuts Fraud; CompuServe Plan a Success," Pensions & Investment Age, Feb. 4, 1985, pp. 21-32. | |
| | | | | Viescas, "Official Guide to the Prodigy Service" 1991. | |
| | | | | | |
| | | | | "Announcing: Internet Shopkeeper" (8/2/1994) posting on comp.infosystems.www and misc.forsale | |
| | | | | "Net Market ("Numerous News Media Stories" (4/94)) NY TIMES, front page of bus. | |
| | | | | "Welcome First Time Visitors" | |
| | | | | "What's New," http://archive.ncsa.uiuc.edu/SDG/Software/Mosaic/Docs/old-whats-new/whats-new-0294.html | |
| | | | | Archive of WWWorder mailing list (6/18/1994 - 6/13/1994) | |
| Examiner Signature | | | | Date Considered | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|--|---|----|---|--------------------------|-------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Complete if Known | |
| | | | | Application Number | 09/005479 |
| | | | | Filing Date | January 12, 1998 |
| | | | | First Named Inventor | Levergood et al. |
| | | | | Art Unit | 2145 |
| | | | | Examiner Name | Patrice L. Winder |
| Sheet | 7 | of | 8 | Attorney Docket Number | 432383600013 |
| Ariel Poler, I/PRO 2nd WWW Conference, Chicago, IL (10/94) (Presentation) | | | | | |
| Aronson, Dan, et al., Electronic Mail to multiple recipients of the www-talk list (www-talk@info.cern.ch) on "Access and session control" dated September 15, 1994 | | | | | |
| Batelaan; Butler; Chan; Chen; Evenchick; Hughes; Jen; Jeng; Millett; Riccio; Skoudis; Starace; Stoddard; "An Internet Billing Server Prototype Design": Carnegie Mellon University: 1992 | | | | | |
| Berners-Lee, T. "draft-ietf-iiir-http-00.txt" (Nov. 5, 1993) | | | | | |
| Berners-Lee, T., et al. RFC 1945: Hypertext Transfer Protocol --HTTP/1.0 | | | | | |
| Berners-Lee, T., et al., http://www.ietf.org/rfc/rfc1738.txt?numbers=1738 | | | | | |
| Berners-Lee, T., RFC 1630: Universal Resource Identifiers in WWW: A Unifying Syntax for the Expression of Names and Addresses of Objects on the Network as used in the World-Wide Web | | | | | |
| Bieber, Michael, "Issues in Modeling a 'Dynamic' Hypertext Interface for Non-Hypertext Systems" | | | | | |
| Biznet Technologies, Versatile Virtual Vending, published at http://www.bnt.com (Sept. 12, 1994). | | | | | |
| Buhle, Jr., E. Loren, "Wide Area Info Services," Digital Systems J., Sept-Oct, 1994, p. 13. | | | | | |
| Business Wire, June 26, 1995, "CommerceNet Urges Government to Ease Export Restrictions on Encryption Products; Consortium's New White Paper Articulates Position on the Export of Cryptography Based Products" | | | | | |
| Changes to wwwStat at http://ftp.ics.uci.edu/pub/websoft/wwwstat/Changes | | | | | |
| Comer, D., et al., "The Tilde File Naming Scheme," pp. 509-514, 6th International Conference on Distributed Computing Systems, IEEE Comp. Society, Cambridge NH May 1986. | | | | | |
| Comer, D.E., et al., "A Model of Name resolution in Distributed Systems," pp. 520-530, 6th International Conference on Distributed Computing Systems, IEEE Comp. Society, Cambridge NH, May 1986. | | | | | |
| Compuserve Manual (undated) | | | | | |
| Crocker, Glenn, "web2mush: Serving Interactive Resources to the Web," Electronic Proc. of the 2nd World Wide Web Conf. '94: Mosaic and the Web!, Developers Day, (Oct. 20, 1994) | | | | | |
| Derler, Christian, "The World-Wide Web Gateway to Hyper-G: Using a Connectionless Protocol to Access Session-Oriented Services", Institut für Informationsverarbeitung und Computergestützte neue Medien, Graz, Austria, dated March 1995. | | | | | |
| Dukach, Seymon; Prototype Implementation of the SNPP Protocol; allspic.lcs.mit.edu ; 1992. | | | | | |
| EAASY SABRE User's Guide and EAASY SABRE Reference Guide | | | | | |
| English, Joe, Electronic Mail to multiple recipients of the www-talk list (www-talk@info.cern.ch) on "Re: Identifying Mosaic session" dated December 20, 1994. | | | | | |
| Ferrari, E., "Flight of Fancy: Goodbye Travel Agent", Business Computer Systems, vol. 2, No. 11, pp. 39-40, Nov. 1993. | | | | | |
| Fielding, R., et al. RFC 2068: Hypertext Transfer Protocol--HTTP/1.1 | | | | | |
| Fielding, R., et al. RFC 2616: Hypertext Transfer Protocol--HTTP/1.1 | | | | | |
| Fielding, R., RFC 1808: Relative Uniform Resource Locators | | | | | |
| Fielding, Roy, et al., "Principled Design of the Modern Web Architecture" ACM Transactions on Internet Technology 2, 2 pp. 115-150 (May 2002) | | | | | |
| Fielding, Roy, software distribution archive for the HTTP log file analysis program, wwwstat v1.01, dated April 24, 1994, published at http://www.ics.uci.edu/WebSoft/wwwstat/ . | | | | | |
| Foster, David & Stuart Finn, "Insurers Can Benefit From E-Mail Networks", National Underwriter Property & Casualty-Risk & Benefits Management, No. 9, p. 46(2), Mar. 4, 1991. | | | | | |
| Gifford, Stewart, Payne, Treese, "Payment Switches for Open Networks," presented at 40th IEEE, IEEE, COMPCON '95, Mar. 5-9, 1995, San Francisco, CA. | | | | | |
| Hall, Devra, et al., "Build a Web Site: The Programmer's Guide to Creating, Building, and Maintaining a Web Presence", published April 1995. ISBN 0-7615-0064-2. | | | | | |
| Examiner Signature | | | | Date Considered | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450

control number

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Commissioner for Patents, Alexandria, VA 22313-1450